

Traffic Engineering and Safety Systems Branch

File Room Guidelines

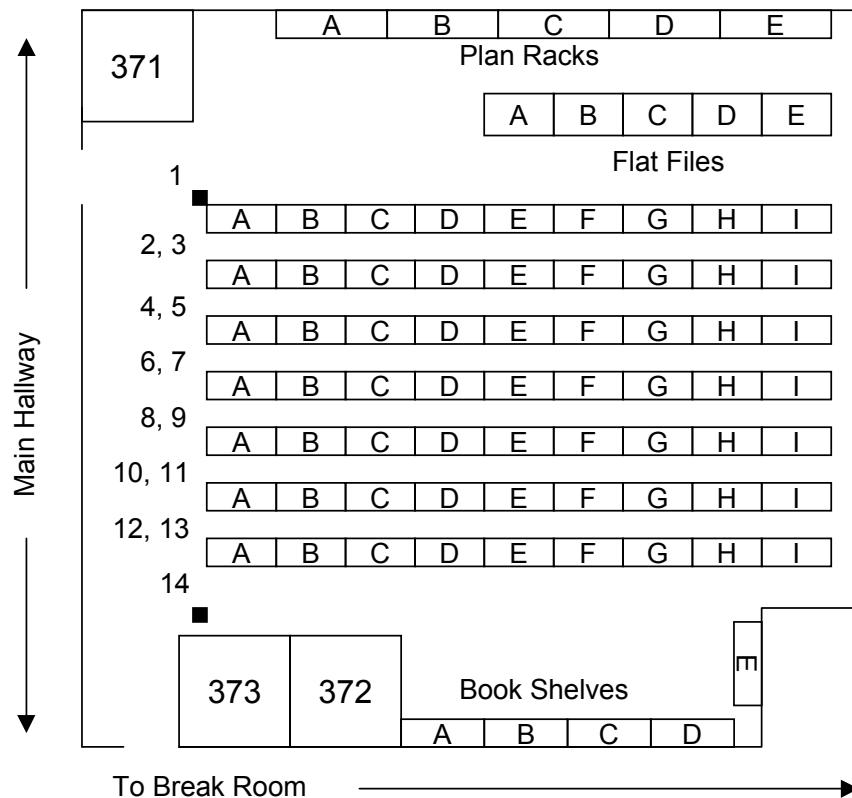
Revised 6-26-07

A. File Room Information

The file room is in cube area 164 and is located in the middle of the Greenfield facility. All items in the branch file room will be number sequentially regardless of the type of file or its contents. Also, all items in the branch file room will be retained based on their respective retention items and minimum retention periods. See your Records Officer for more information on the retention and disposition of unit and section records. File room personnel are currently:

Libby Allen	Room 222	773-2830	(supervisor)
Ramona Atchley	Cube 371	662-4384	
Brenda Jackson	Cube 373	329-8495	

The general layout of the file room is as follows:



B. Interaction with the File Room

The branch file room is open to all personnel who need to view an item (file, plans, etc.), who need to copy information from an item, or who need to access the OCE machine. A copier, work surfaces, and tables/chairs have been provided.

However, no items are to be added to, or leave, the file room without proper documentation processed by file room personnel. Therefore, **the “File Room Request Form” (form TESSB-FR-01) must be completed when adding, requesting, or changing items (file, plans, etc.) in the file room. All requests must include the date of the request, the name of the requestor, and the requestor’s phone number, unit, and section.**

Traffic Engineering and Safety Systems Branch File Room Request Form	
Date: <u>6/19/07</u>	<div style="border: 1px solid black; padding: 5px; margin: 5px auto; width: 80%;">File room use only: File Number: _____ Row: _____ Unit: _____</div>
Requestor: <u>John Smith</u>	
Phone: <u>773-1234</u>	
Unit: <u>Traffic Safety</u>	
Section: <u>Traffic Safety Systems</u>	

C. Restricted and/or Confidential Items

Some items in the branch file room are restricted and/or confidential. These files generally consist of older time sheets with social security numbers (retention item 79), information for the Attorney General’s office regarding tort liability cases (retention item 47811), information for attorneys and law firms regarding other legal cases (retention item 47810), information regarding fatal investigations (retention item 38499), and information regarding limited service agreements (LSAs) and contracts (retention item 73). Only specific persons shall have access to these restricted items.

With respect to time sheets (retention item 79), SAP paymasters will have access to all information and supervisors and managers will have access to information regarding their employees. Refer to organizational charts for supervisors and managers. The following are SAP paymasters:

Jackie Johnson
Sharon Hughes
Elaine Reo
Melveena Sams

Only the following individuals will have access to attorney general (retention item 47811) and legal items (retention item 47810):

Kevin Lacy
Terry Hopkins
Brian Mayhew
Shawn Troy
Brian Murphy
Carrie Simpson

Only the following individuals will have access to limited service agreements (LSAs) and contracts (retention item 73):

Kevin Lacy
Renee Roach
Terry Hopkins
Greg Fuller
Jim Dunlop
Ron King
Milton Dean
Buddy Murr
Brian Mayhew
Tony Wyatt
Jeff Jaeger
Lisa Avery

Finally, only the following individuals will have access to fatal investigation files (retention item 38499):

Kevin Lacy
Terry Hopkins
Tony Wyatt
Kelly Becker
David Phipps

D. Requesting an Item

For most requests, the item name (such as 01-2345, SW-06-012, 06-04-5345, 200604023, etc.) will be the only information necessary for file room employees to identify and locate the proper item. **However, in the case of Transportation Improvement Program (TIP) projects, the retention item specific to the section responsible for the file must also be included because each unit has different retention items for their TIP projects.** Requests may be placed in the “request” box located just inside the main file room door.

<input checked="" type="checkbox"/> Request Item
Item Name: <u> B-3705 </u>
Retention Item: <u> 47814 </u> (required if TIP project)

The following are current TIP retention items for the branch:

37867 – Signals and Geometrics Section (contract hanging files)
37868 – Signals and Geometrics Section (contract signal inventory files)
39006 – Congestion Management Section, Plan Review Group (projects)
39008 – Congestion Management Section, Plan Review Group (special projects)
47814 – Traffic Safety Systems Section, Safety Planning Group
47823 – Traffic Operations and Investigations Section, Capital Region
86603 – Signals Management Section
88800 – ITS Section

E. Changing an Item

Many items located in the branch file room are subject to adjustments or additions. In these cases, the item must be updated in the file room database. The “File Room Request Form” must include the item name, and may just indicate the necessary changes or may have additional items attached to it that need to be filed in the folder.

<input checked="" type="checkbox"/> Change Item
Item Name: <u> 05-06-213 </u>
Retention Item: _____ (required if TIP project)
Change Retention Item to: <u> 25528 </u>
Change Retention Date to: <u> 3-14-07 </u>
Attached items to be added to file: Yes <input type="radio"/> No <input checked="" type="radio"/>

Once again, in the case of Transportation Improvement Program (TIP) projects, the retention item specific to the section responsible for the file must also be included because each unit has different retention items for their TIP projects.

<input checked="" type="checkbox"/> Change Item
Item Name: <u>U-0061C</u>
Retention Item: <u>39006</u> (required if TIP project)
Change Retention Item to: _____
Change Retention Date to: <u>6-21-07</u>
Attached items to be added to file: <input checked="" type="radio"/> Yes <input type="radio"/> No

F. Adding an Item

All new items being added to the branch file room must have all information completed in the “New Item” section of the “File Room Request Form”. Also, **new files must be in a file folder with the name of the file on the tab.**

<input checked="" type="checkbox"/> New Item
Item Name: <u>200704033</u>
Item Type: <input checked="" type="radio"/> File <input type="radio"/> Plans <input type="radio"/> Other: _____
Retention Item: <u>38213</u>
Retention Date: <u>4-16-07</u> (appropriate for retention item)

In some cases (such as time sheets, expense vouchers, etc.), the retention item for the file being added to the branch file room will be on the general schedule and the retention item will not be sufficient to differentiate files between the various units and sections. In these cases, the item name should be preceded by the unit and/or section initials.

“TSU”

<input checked="" type="checkbox"/> New Item
Item Name: <u>TSU - Time Sheets PP 117</u>
Item Type: <input checked="" type="radio"/> File <input type="radio"/> Plans <input type="radio"/> Other: _____
Retention Item: <u>79</u>
Retention Date: <u>12-1-06</u> (appropriate for retention item)

G. Processing a Request – File Room Employees

When processing a request, file room personnel must add the file number, row, and unit to the request form. When the request has been processed, the request form must be signed and placed in the “completed requests” notebook.

Traffic Engineering and Safety Systems Branch File Room Request Form	
Date: <u>6/19/07</u>	<div style="border: 1px solid black; padding: 5px; margin: 5px 0;"><small>File room use only:</small></div> File Number: <u>10056</u>
Requestor: <u>John Smith</u>	Row: <u>11</u>
Phone: <u>773-1234</u>	Unit: <u>A</u>
Unit: <u>Traffic Safety</u>	
Section: <u>Traffic Safety Systems</u>	

Processed By: <u>Nancy Drew</u>	Date: <u>6-19-07</u>
Checked By: _____	Date: _____

If a new file is being created, the old top tab file should be saved so it can be reused. Any files that are to be placed in the restricted area such as projects (retention items 38499, 47810, and 47811) or time sheets (retention item 79 – but only if social security numbers are present) should be stamped as “confidential” before being filed.

I. Returning Items

When returning checked-out items to the file room, place them in the “returned items” box. The file room staff will check the item back into the file room with the database, then file the item. No paperwork is necessary.

H. Disposition of File Room Items

Each month file room personnel will generate a “purge” list. Files identified for purging will be based on their retention items, dates, and minimum retention periods. The list will be distributed to each section for a decision as to the fate of each identified item. File room personnel will not purge any item without approval from Section Heads or above.

Purge List				
Thursday, June 14, 2007				
Traffic Safety Unit - Traffic Safety Systems				
File Number	Category	Item	Type	Location
496	Crash Request Destroy.	200405066	File	FILE ROOM
497	Crash Request Destroy.	200405067	File	FILE ROOM
498	Crash Request Destroy.	200405068	File	FILE ROOM
499	Crash Request Destroy.	200405070	File	FILE ROOM
500	Crash Request Destroy.	200405075	File	FILE ROOM
501	Crash Request Destroy.	200405076	File	FILE ROOM
502	Crash Request Destroy.	200405079	File	FILE ROOM